RECORDS MANAGEMENT PROGRAM

SURVEY REPORT
OF THE

OFFICE OF

CENTRAL · REFERENCE

PREPARED BY

RECORDS MANAGEMENT STAFF

ARCHIVAL RECORD
RETURN TO AGENCY ARCHIVES

210774

FORM NO. 737
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RECORDS MANAGEMENT SURVEY REPORT
OF THE OFFICE OF CENTRAL REFERENCE

I PURPOSE

To prepare a records control schedule covering the disposition of all records of the Office of Central Reference.

II BACKGROUND AND APPROACH

At the request of the Office of Central Reference, a records management survey was conducted by [   ] of the Management Staff. The survey began on 15 April 1956 and was completed on 17 April 1957. The survey consisted of an item-by-item inventory of the records holdings in each organizational element of the Office, and obtaining information from responsible administrative and operation officials as to the use and value of each category of records.

Based upon the Value of the records placed on them by these officials, evaluation criteria established by the National Archives, and precedents established in other offices of the Agency for similar records, a proposed schedule for the timely disposition of each record series was prepared and submitted to each component of the Office for concurrence. Proposed retention periods were adjusted until everyone was in complete agreement and signatures of the organizational chiefs were obtained. The schedule was then submitted to the Assistant Director for approval.

III APPLICATION OF APPROVED SCHEDULES

The OCR schedule, as approved by the Assistant Director, has been reviewed by the Records Management Staff and is approved for full application of the disposition instructions contained thereon except for destruction action proposed on certain items. (See list of items attached to schedule). Steps are being taken to obtain the necessary legal authorization for the destruction of these excepted items whereupon you will be notified immediately. However, it is pointed out that a schedule only gives legal authority for the destruction and retirement of records and all actions taken under this authority must conform with existing security regulations of the Agency.

IV FINDINGS

Statistical information developed from the records control schedule shows that the Office of Central Reference has records holdings totaling 27,209 cubic feet, categorized into 491 separate record series, and housed in filing equipment having a replacement value of over $600,000. (See filing equipment inventory attached as Exhibit No. 1.) This is significant in that OCR records represent 45% of the total volume in the DD/I Area. Therefore, the effectiveness of the records management program in the DD/I Area is incumbent upon good records management practices in OCR. Of the total OCR records, 22,928 cubic feet consists of library material and register collections maintained primarily for servicing customers' requests. The remaining 4,281 cubic feet of records are those accumulated in connection with administrating, collecting, and controlling these large collections.

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The latter types of records fit well in established patterns for automatic cut-off, retirement, and disposal procedures as developed in the schedule. It is the other records, the largest by volume, where a records problem exists and where all techniques of good records management practices must be applied. It is also in this area where no precedent exists from which to draw on other Agencies' experiences and where reduction of volume by retirement or by micro-photography is basically determined by customer requirements.

V ACCOMPLISHMENTS

During the survey several problems arose which were considered pressing for immediate solution. In order to provide assistance to these areas when needed, other members of Records Management Staff and personnel from the Records Center were called on for help. With the full cooperation of OCR personnel we were able to accomplish the following:

1. RECORDS RETIRED. Prior to this survey, not all components of OCR had taken advantage of the facilities offered by the Records Center for housing their inactive files. In addition, large quantities of records acquired in groups from other Agencies were being stored in current files area pending time and manpower available to process these files into their own system. With the approval and cooperation of operating officials we were able to transfer a total of 1146 cubic feet of records to the Records Center. This was in addition to 1419 cubic feet of records that were retired to the Records Center by OCR components during the same period. Now, all Divisions and Registers of OCR are aware of the services available at the Records Center and are actively participating in a records retirement program. A suggested OCR issuance that would further assist personnel concerned with the retirement of records and their recall for current use is attached as Exhibit No. 2.

2. RECORDS DESTROYED. Many records are maintained by officials beyond their usefulness to the Agency because they are not aware that legal authority exists for their destruction or they are not aware that an office of record has been established elsewhere for the official record. Also they may often lack manpower to handle a large job of records destruction and keep up with their current work. With the approval of the appropriate officials we were able to destroy on the spot a total of 306 cubic feet of records. An amount equally as large is estimated to have been destroyed by operating personnel as a result of recommendations made during the inventory.

3. FILING SYSTEMS INSTALLED. Administrative files maintained at all organizational levels of OCR contain generally the same types of material. The files are usually maintained by Branch and Division secretaries and in systems devised on a day-to-day basis with no uniformity in arrange-ment. With the approval of appropriate officials we installed the Agency file system prescribed for this type of file in 9 locations in the Graphics Register, Special Register, and Machine Division, and trained personnel in their maintenance.

4. **SHELF FILING INITIATED.** The introduction of new filing equipment which will house a larger volume of files with less floor space than conventional cabinets and safes is desirable not only from an economic standpoint but due to limitations on acquiring additional space. A member of our staff prepared a study on the use of shelf filing in Biographic Register for housing their Dossiers files. The plan was approved and open shelf filing equipment is being procured. This will consolidate all Dossiers into one filing area and in addition provide additional space for 24 months' expansion. The cost of the new equipment will not exceed the value of the cabinets that will be available for turn in. The use of shelf filing has also been approved on a test basis for installation in one Branch of the Industrial Register.

5. **SUPPLEMENTAL DISTRIBUTION STOCK LEVELS.** Adequate stocks of publications issued by OCR must be maintained to fill supplemental requests. Based on experience factors available at the Records Center on the number of requests they receive for OCR publications, stock levels have been established for Biographic Register and Graphics Register publications. As a result, stock levels established by these offices have authorized the destruction of 54 cubic feet of OCR publications at the Records Center and, in addition, have eliminated the need for maintaining extra copies of publications in current files area.

VI RECOMMENDATIONS

During the course of our survey, other areas of records management were observed where possible improvements could be made. As a result of these observations and after a careful analysis of the schedule, the following recommendations are submitted for your consideration:

Recommendation No. 1 - THAT THE RECORDS CONTROL SCHEDULE BE IMMEDIATELY APPLIED THROUGHOUT THE OFFICE.

The preparation of a records control schedule accomplishes little unless the disposition instructions which have been approved by all responsible officials of your office are implemented and adhered to down to the lowest echelon. Therefore, Records Officers and Administrators should use the schedules as a means of administrative control to obtain compliance with approved policies. The application of the schedule then becomes a prime factor in promoting an efficient and economical records disposition program. The benefits derived from an effective records disposition program are many. Substantial savings can be reflected in more economical use of office space and file equipment. In addition to monetary savings, application of the schedule insures preservation of records considered permanently valuable to the Office, and provides for orderly maintenance and management of files in current use.

Recommendation No. 2 - THAT THE RECORDS CONTROL SCHEDULE BE REVIEWED ANNUALLY TO EFFECT CHANGES NECESSARY TO MAINTAIN THEIR CURRENT STATUS

The records of an organization reflect the function it performs and as these functions change the schedule must be revised accordingly. New records are often being created that are not covered on the schedule. Records series which have been discontinued and either retired or destroyed should be dropped from the schedule. Retention periods should be reduced on certain items after experience has shown that items were over evaluated on the initial schedule. Therefore, in order to maintain an active records disposition program, a records control schedule must be reviewed annually and brought up to date.

Recommendation No. 3 - THAT PROCEDURES BE ESTABLISHED FOR COLLECTING AND COMPILING STATISTICAL INFORMATION TO MEASURE THE EFFECTIVENESS OF THE OCR RECORDS DISPOSITION PROGRAM.

In addition to the many intangible benefits derived from a records disposition program there are substantial accomplishments that can be measured in dollar savings. These savings are easily understood by the operating people as well as the administrator and go a long way in promoting the program. In order to measure the tangible benefits of the OCR program, procedures should be established to collect and compile the following information annually:

a. Volume (cu.ft.) of records on hand at beginning of reporting period.

b. Volume (cu.ft.) of records transferred to the Records Center during reporting period.

c. Volume (cu.ft.) of records destroyed during reporting period.

d. Volume (cu.ft.) of records on hand at end of reporting period.

This information must be collected annually by the Management Staff for use as an aid in measuring and reporting the effectiveness of the Agency Records Management Program. A suggested memo for transmitting the schedules to each component and establishing a reporting system is attached as Exhibit No. 3.   25X1A

Recommendation No. 4 - THAT THE AGENCY FILE SYSTEM OUTLINED IN HB [ ] BE INSTALLED IN ALL ADMINISTRATIVE AND SUBJECT FILES THROUGHOUT THE OFFICE.

Within the Office of Central Reference, there are 37 separate subject and administrative files maintained for the Chiefs of each organizational element. These files are maintained and serviced by secretaries and clerical personnel in the various chiefs' offices. The systems of filing are varied, but for the most part, records are under some subject arrangement. The Agency has adopted a subject numeric system for maintenance of this type of file (See HB [ ] "Handbook for Subject Filing") and this file system has been installed in Graphics Register, Special Register, Machine Division, and Administrative Staff. By extending this system throughout the Office of Central Reference, benefits will accrue to present as well as future administrators through such standardization. It will provide a file guide usable by all personnel and lessen dependence on a few file clerks to locate papers when they are needed. Intra-office transfers (and in many cases inter-office transfers)

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of administrative and clerical personnel will cause no time lost in learning the different file systems of each organization. All new clerical personnel (awaiting clearance) in the Interim Assignment Branch of the Personnel Office are given a training course in the subject numeric file system. The course is conducted by the Office of Training and covers five 40-minute periods. In addition, all new personnel in grades through GS-7 are given a brief course in subject numeric filing under the clerical orientation program. Members of this staff are available to assist in this program.

Recommendation No. 5 - THAT EMPLOYEE RECORD CARD, OF 4b, BE UTILIZED AT ALL ORGANIZATION LEVELS BELOW THE ADMINISTRATIVE STAFF REPLACING THE INDIVIDUAL PERSONNEL FOLDERS.

Individual personnel folders are maintained at all organizational levels and duplicate the personnel folders maintained by the Administrative Staff. In addition, the employee's official personnel folder is maintained by the Personnel Office of the Agency. It is suggested that the personnel folders maintained by other than the Administrative Staff be discontinued and the use of Employee Record Card, OF 4b, be encouraged. The Employee Record Card is intended for use by operating officials as a basis for initiating personnel actions; recording personnel actions, training, and qualifications; and noting other information needed in the management of personnel. Agency Regulation _____ states that OF 4b is "the only supplementary record authorized by the Office of Personnel which may be established by operating components". The cards may be maintained in pocket type visible files and will occupy less filing space in the office.

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Recommendation No. 6 - THAT THE REGISTERS CONTINUE TO DEVELOP AND ESTABLISH A PROGRAM THAT WILL REDUCE FILE SPACE THROUGH MICROFILMING, RETIREMENT, AND UTILIZATION OF SPACE SAVING FILING EQUIPMENT.

The proof that a Register performs the function for which it was established is whether or not information or documents requested by a customer can be furnished. In order to meet the ever increasing requirements of the customers, new sources of information have been developed and the volume of files have continued to increase until all available floor space for further expansion is limited. The operating officials of the Registers are the first to admit that all documents in their files are not used and that some of them will never be used or needed by customers. Therefore, it is this group of never used documents and the seldom used documents that should be eliminated from the active collections and removed from current files area. Even if all inactive material could be removed from current files, the large volume of active files remaining will still present a space problem. It is in this area that the use of micro-photography and shelf filing would assist to reduce the space requirements for the Registers. In connection with this survey, as well as overall space requirements for the new Agency building, we have met with officials of Industrial Register to discuss informally a proposal we in Management Staff had prepared concerning the disposition of Industrial Card Files. (See Exhibit No. 4). Our proposal is only informal and was submitted to them as a point to start. Variations and detailed procedures should be discussed and worked out to the satisfaction of the Chief of the Register. We therefore, propose to work with each of the Registers towards the solution of their space problems.

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Recommendation No. 7 - THAT THE INTERNAL ADMINISTRATIVE REPORTING PROCEDURE BE REAPPRAISED AND SPECIFIC REQUIREMENTS BE PLACED ON SUBORDINATE COMPONENTS.

Throughout the Office of Central Reference, daily work reports are being prepared by most personnel. At each administrative level they are brought together, consolidated, and reported to the next higher level until they are all brought together in Operations Staff where the OCR monthly activity report is prepared. As a result of this reporting system, retained copies of feeder reports are being maintained at all levels of administration due to supplemental requests for information not included on the consolidated report. This requires initial work reports to be kept for excessive periods after the consolidated report has been forwarded to the next level. Therefore, all reporting requirements should be developed from the top downward. This will permit the destruction of feeder reports at each level of consolidation based on their administrative needs and prevent the retention of records on the remote possibility that they may be asked for.

Recommendation No. 8 - THAT OCR INITIATE A MEMORANDUM TO ALL OFFICES OF DD/I REQUESTING THAT BOOKS ON INDEFINITE LOAN FROM THE LIBRARY BE RETURNED IF NO LONGER NEEDED AS AN ACTIVE REFERENCE AID.

There are over 5,000 cubic feet of reference books in the various components of DD/I. This volume does not include those maintained by the OCR Library for loan purposes. Some of the books are on definite loan from the Library. The major portion, however, are those which have been procured by the Library for indefinite retention by the requesting officials. Over a period of years, some individuals have accumulated a large collection of library books. Many of these books maintained outside the Library have passed their usefulness as a daily reference aid and in many cases are never used at all. Also, these seldom used books could be furnished by the Library on request as easy as located by the requestor in his own library collection. If the results of this memo should prove successful in the DD/I area it is suggested that similar memos be initiated for the recall of inactive reference books from the other areas.

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EQUIPMENT INVENTORY - OCR

TYPE	TOTAL UNITS	UNIT COST	TOTAL COST
4 dr. Legal Safe	698	345.00	$240,810.00
4 dr. Letter Safe	45	289.00	13,005.00
4 dr. Legal Cab.	68	47.50	3,230.00
4 dr. Letter Cab.	25	44.50	1,112.50
5 dr. Legal Cab.	238	56.50	13,356.00
3 dr. Letter Cab.	2	40.00	80.00
2 dr. Legal Safe	8	235.00	1,880.00
5 dr. Letter Cab.	15	59.00	885.00
Bookshelves (Glass Front	462	24.75	14,668.50
Shelves (1x3 Wood)	148	6.00	888.00
Shelving (Wood)	96	2.00	192.00
Shelves (1x4 Wood)	98	8.00	784.00
Shelves (9"x36" Steel)	6009	7.00	42,063.00
8 dr. IBM Safe	126	458.50	57,771.00
6 dr. Microfilm Cab.	9	127.50	1,147.50
7 dr. Card Cab. (2 Tray 5x8)	214	91.00	19,474.00
10 dr. Card Cab. (2 Tray 3x5)	83	102.75	8,528.25
10 dr. Card Cab. (2 Tray 5x8)	4	125.00	500.00
5 dr. Card Safe	252	345.65	87,103.80
32 Tray Card File (5x8)	1	240.00	240.00
5 dr. Map Case (Wood)	1	60.00	60.00
5 dr. Map Cab. (Metal)	17	88.40	1,893.80
15 dr. Map Cab. (Wood)	1	105.00	105.00
Kardex Safe (--)	23	433.80	9,977.40
Kardex Cab.	34	255.50	8,687.00
Kardex Cab. (Wood)	5	100.00	500.00
Tub Files (Card Trays)	12	150.00	1,800.00
32 Tray, IBM (Verticle)	13	240.00	3,120.00
10 dr. IBM Cab.	324	106.70	34,570.80
Safti-Stak (3x10)	612	4.15	2,539.80
3 dr. Safti-Stak (3x10)	180	12.00	2,160.00
2 dr. Safti-Stak (IBM)	192	8.00	1,536.00
15 dr. 3x5 (Wood)	2	65.00	130.00
4 dr. 3x5 (Wood)	4	11.00	44.00
4 Tray IBM (Verticle)	10	30.00	300.00
2 dr. 5x8 Cab.	8	13.50	108.00
Elevator Safe	2	1950.00	3,900.00
5 dr. IBM Cab.	123	100.00	12,300.00
4 dr. IBM Cab.	142	82.00	11,644.00
2 dr. Vault Safe	1	250.00	250.00
Flexoline Stand (Floor)	3	40.00	120.00
Flexoline Stand (Desk)	10	117.00	1,170.00
2 Tray Card Cab. (5x8)	10	5.50	55.00
2 door Mosler Safe	1	106.75	106.75
	10,235		$604,796.10

EXHIBIT NO. 1

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OFFICE OF CENTRAL REFERENCE

SUBJECT: Retirement of Records to the Agency Records Center and their recall for current use.

I. The instructions outlined below will be followed when retiring inactive OCR records to the Agency Records Center:

A. MATERIAL OTHER THAN TOP SECRET 25X1A

1. Supplies of the following forms may be obtained from the Building Supply Office or from the OCR Records Management Officer [   ]

   a. Form No. 140, Records Retirement Request. Part I of this form will be completed by the retiring office. An original and three copies will be forwarded to OCR Records Management Officer.

      (1) Job Number. A job number is required for each separate group of records being retired. This number may be obtained from the OCR Records Management Officer.

      (2) Description of File Series. Insert a brief description of the Records being retired. This description will be taken from the approved records control schedule and will include the schedule and item numbers, record series title and description, and the inclusive dates of records being retired.

   b. Form No. 140a, Records Shelf List. The use of this form is optional. It should be used when the retiring office wishes to have a more detailed listing of the material being retired than is indicated on Form No. 140. When it is used, it should identify the contents of each container by listing the subject or title of each folder or document contained therein. An original and one copy will be forwarded to Administrative Staff with Form No. 140.

   c. Form No. 14, Records Storage, Box Label. One label should be attached to the upper left corner of the small end of each container. The number of each container and its relation to the total number of containers will be indicated on each label, e.g., 1 of 5, 2 of 5, etc.

2. Corrugated, fiberboard containers, measuring 15" X 12" X 10" will be used for the retirement of legal or letter size records. Each container holds one cubic foot of material, or one half of the contents of a legal size safe drawer. Unassembled containers can be obtained from the Building Supply Officer. To assemble the containers, secure the bottom with 3" paper tape that can also be obtained from the Building Supply Officer.

3. Records should be placed in the containers in the same order in which they have been arranged and maintained in the file cabinets. Do not pack the containers too tightly.

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EXHIBIT NO. 2

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4. After the containers have been packed, they should be sealed and placed with the outgoing mail for pick up by the couriers for delivery. to the Agency Records Center. It is important that these containers be ready before last pick up of the day in order that they may be stored in a secure area overnight.

5. Special arrangements for the packing of odd size material such as maps or card size records will be made with the Area Records Officer.

B. TOP SECRET MATERIAL

1. Top Secret material in OCR normally will not be retired to the Agency Records Center. In those cases where it is necessary or desirable to retire Top Secret material which is integrated with material of a lower classification in a file series, special arrangements will be made with the OCR Records Officer to retire this series.

II. Recalling records from the Agency Records Center or requesting information from or about a document can be expedited by observing the following procedures:

A. ROUTINE REQUESTS. Use Form No. 490, Records Center Service Request (available in the Building Supply Officer) for all routine requests for documents from the Records Center. Follow instructions on the form for completing and send by courier to "Records Center". Routine requests are serviced promptly and documents are normally supplied within twenty-four hours.

B. URGENT REQUESTS. If documents at the Records Center are needed within a few hours, special service is available to handle urgent requests. Call _____ and furnish the same information requested on Form No. 490. Also state the time that you need the documents. This information will be immediately relayed to the Records Center and documents will be forwarded on the next courier run. Expediting this type of request places extra demands on courier personnel, center personnel and the communication system, so it is desireable that this procedure be used only when need of documents is urgent.

C. INFORMATION REQUESTS. When a requestor wants information from or about a document in the Records Center forward the request on Form No. 490 or call _____ depending on the urgency of the request.

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SUBJECT: Records Control Schedule No. 24-56

1. Attached is the Records Control Schedule covering the records of your component. This schedule was prepared by the Records Management Staff, DD/S and approved by the Assistant Director, Central Reference.

2. This schedule should be used to effect appropriate disposition of the records in your component. The item numbers identify major series or categories of records which should cover all or most of your records. The destruction or retirement of the records should be in accordance with the "Disposition Instructions" in the Records Control Schedule except that destruction action proposed on certain item numbers listed in the front of your schedule must be temporarily delayed pending legal authorization.

3. Although the schedule is mandatory it is not inflexible. Changes can be made at your request. Such changes however, should be requested in writing through the OCR Records Management Officer so that all legal aspects may be taken care of.

4. In order to provide the Management Staff with a report of the volume of records destroyed in OCR under authority of the schedule, a report of any destruction will be made to the OCR Records Management Officer. This report will be in writing and will cover the following:

    a. Amount of material in linear feet, or inches.

    b. A general description of the material as given on your Records Control Schedule i.e., Subject Files, Source Material, Reference Publications, Intelligence Reports, etc.

    c. The type of material (cards, correspondence, documents, etc.) and

    d. The item number on the schedule under which the records were destroyed.

A report should be made only when the amount of material destroyed is approximately one linear foot or more. Only that material which is actually part of a file should be reported. Individual documents which are destroyed on a daily basis and which never become part of the file series should not be included.

5. A negative report, if applicable, is required from your components (branch level and above) at the end of each quarter.

6. The Office of Security has granted an exception to the requirement of logging the destruction of individual secret and confidential documents providing a record of the material destroyed is maintained by category of material, file names, subject or other means of identifying, by general description, the nature and kind of material destroyed. Reporting the destruction of material as required in paragraph 4 above serves to fill this requirement.

EXHIBIT NO. 3

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PROPOSAL: Industrial Card Files   15 May 1957

1. Files in all Branches be cut off at the end of 1952 and all material dated 1952 and prior be transferred to the Records Center in hard copy.

This will move the major portion of low level material out of the current files which contain higher grade and more selective material. Approximately 750 cubic feet of files would be transferred to the Records Center releasing 75 safes and 600 square feet of floor space for other use. It is important that the cut-off date be made across the board with as few exceptions as possible in order to facilitate the point of search. This material could be recalled by individual documents or by plants for temporary reference purposes. Also based upon use or need could be recalled on a permanent transfer basis for inter-file in the current file. The various machine listings available to the analysts show a listing of all documents filed under each plant which in turn would serve as an index to what is at the Records Center and what is in the current files. Copies of these listings should be furnished to the Records Center.

2. Files in Branch X dated 1953 through 1956 be microfilmed and placed in film-sort jackets. Hard copy of this material should be transferred to the Records Center.

The original negative should be kept in the current files and used in lieu of hard copy. A copy of the negative should be made for VM storage.

3. Tests in the use of shelf filing be continued on a concurrent basis with the test of microfilming and retirement of documents.

4. Hard Copy files accumulated in Branch X during 1957 be filmed during 1958.

Original negatives should be retained in current files and hard copy transferred to Records Center. A copy of the negative should be made for VM storage.

5. During the latter half of 1958, based on experience from the use of microfilm and recall of hard copy from the Records Center, decide on one of the following actions:

   (1) If microfilm proved completely satisfactory, destroy all hard copy in current files (1953-1957) and destroy hard copy annually after each preceeding year has been filmed. Retain film in current files indefinitely. If material at Records Center (1952 and prior) is to be retained over 10 years, microfilm it.

   (2) If microfilm is only adequate for older material destroy only 1953 hard copy after microfilming and retain film in current files. This will maintain a 5-year level of hard copy in current files and that material over 5 years would be maintained on film.

   (3) If microfilm is inadequate, and it is found that use of material over 5 years old retained at the Records Center is satisfactory, then establish an annual cut-off and retirement plan. This would maintain hard copy in current files for five years. (5-year level). Microfilm should be discontinued (unless it is necessary for VM storage). If shelf filing has proven successfull, then convert all files to shelf files.

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